

# **Continuous Improvement Monitoring Process (CIMP) Self Assessment**



**Tennessee Department of Education  
Division of Special Education**

**Office of Early Childhood  
Brenda Bledsoe, Director**

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<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 1.0 PUBLIC AWARENESS</b>	
<b><i>Outcome/Desired Result: 1.1 The agency participates in the development of an effective district-wide child-find system, which results in the early identification of all children with special developmental needs.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A. The agency shows evidence of identifying children who are delayed through child find procedures including screenings.</b>	
Authority CFR 303.321; TN SBE Sec. 0520-1-10-.02 (3)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>Record review</li> <li>Log of infants screened</li> </ul> </div> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>Quantitative data</li> <li>618 data- 2% of census data (expected vs. actual number of children served)</li> <li>See 1.2 A (LICC)</li> <li>See 1.3 A (LICC)</li> </ul> </div> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion(s):     	
Conclusions and Comments:     	
<b>TN Division of S. E. Use Only</b>	
<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments   	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>PA 1.1 A</span> </div>	

Guidance
<b>Cluster: 1.0 PUBLIC AWARENESS</b>
<b><i>Outcome/Desired Result: 1.1 The agency participates in the development of an effective district-wide child-find system, which results in the early identification of all children with special developmental needs.</i></b>
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The agency shows evidence of identifying children who are delayed through child find procedures including screenings.
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency maintain information on the number of children screened and the number of children referred for evaluations and the referral sources?</li> <li>2. Does the agency document screening procedures or method of identification?</li> <li>3. Does the agency keep a log of child find activities?</li> </ol>
<b>Notes:</b> <b>1. Screening-</b> (1) The first step in the evaluation/assessment process. A fast, efficient way to identify children who may have a developmental delay and need early intervention services and who should undergo further evaluation/assessment. (2) Mass screenings that are used in connection with child find activities. <i>IFSP Manual</i> , TNDOE/1-2000, Chapter 8, p14.

**TENNESSEE**  
**Part C Continuous Improvement Monitoring**  
**Self-Assessment**

**Cluster:1.0 PUBLIC AWARENESS**

***Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.***

**Indicator (of implementation)**

**A.** The agency has procedures for accepting referrals into their agency.

Authority

CFR. 303.321 (d); TN SBE Sec. 0520-1-10-.02 (4)

**Potential Data Sources**

- Log of referrals received /referral sources
- TEIS & agency family surveys
- Personnel interview
- Policy/procedures for accepting referrals

**Response**

**Indicator Achieved:**

(Circle one)   **Yes**                **No**                **Partial**

***If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1)***

Data Sources Utilized (Attach analysis of Data to support conclusion/s):

Conclusions and Comments:

**TN Division of S. E. Use Only**

**Status:**   ☐ **Compliance**   ☐ **Non-Compliance**

Date of Validation:

Monitoring Consultant/s Reviewing:

Additional Information/Comments

See guidance for determining compliance on reverse side of this page.

PA 1.2 A

Guidance
<b>Cluster: 1.0 PUBLIC AWARENESS</b>
<b><i>Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.</i></b>
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The agency has procedures for accepting referrals into their agency.
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency have policy/procedures for accepting and processing referrals into their agency?</li> <li>2. Is there evidence that referrals are from multiple referral sources?</li> <li>3. Does the agency provide information to the referral source regarding the status of the referral?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 1.0 PUBLIC AWARENESS</b>	
<i><b>Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.</b></i>	
<u><b>Indicator (of implementation)</b></u> <b>B.</b> The agency has a reasonable time frame for notifying families and referral sources after receipt of referrals to their agency.	
Authority CFR 303.321; TN SBE Sec. 0520-1-10-.02 (4)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Record review               <ul style="list-style-type: none"> <li>contact logs</li> <li>correspondence</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Family forum</li> <li>TEIS &amp; agency family surveys</li> </ul>
<b>Response</b>	
<u><b>Indicator Achieved:</b></u> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i><b>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</b></i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b> <span style="float: right;"><b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b></span>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page. <span style="float: right;">PA 1.2 B</span>	

Guidance
<b>Cluster: 1.0 PUBLIC AWARENESS</b>
<b><i>Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>B.</b> The agency has a reasonable time frame for notifying families and referral sources after receipt of referrals to their agency.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency document the date of referral to their agency and the agency's first contact with families?</li> <li>2. Does the agency make initial contact with the family by phone or in person within 5 working days after receipt of the referral into the early intervention system?</li> <li>3. If it is not possible for the agency to contact the family in a timely fashion, is there documentation of the circumstances that prevented or delayed the first contact?</li> <li>4. If attempts to contact the family by phone or in person have been unsuccessful within 5 working days, does the agency send a letter to the family on the fifth day?</li> <li>5. Does the agency document attempts to contact the family?</li> <li>6. Does the agency provide information regarding the outcome of the referral to the referral source if there is a signed release of information from the parents?</li> </ol>



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 1.0 PUBLIC AWARENESS</b>	
<b><i>Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>C. The agency makes referrals to other programs or agencies when appropriate.</b>	
Authority CFR 303.321; 303.342; 303.405; TN SBE Sec. 0520-1-10-.02 (5); 0520-1-10-.02 (6); 0520-1-10-.02 (8) ; 0520-1-10-.03 (3); 0520-1-10-.03 (4)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>contact logs</li> <li>correspondence</li> </ul> <ul style="list-style-type: none"> <li>Procedures/policy manual</li> <li>Personnel interview</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
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Conclusions and Comments:	
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<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>PA 1.2 C</span> </div>	

Guidance
<b>Cluster: 1.0 PUBLIC AWARENESS</b>
<b><i>Outcome/Desired Result: 1.2 The agency has procedures related to referrals to other agencies and the receipt of referrals from families, programs and agencies.</i></b>
<b><u>Indicator (of implementation)</u></b> <b>C.</b> The agency makes referrals to other programs or agencies when appropriate.
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency have procedures for making referrals to other programs or agencies?</li> <li>2. Does the agency refer all children who are eligible or may be eligible for Part C to the TEIS Point of Entry (POE)?</li> <li>3. When parents or guardians refuse referral to the TEIS Point of Entry (POE) for the appointment of an incoming service coordinator, does the agency obtain in writing the parent's refusal for referral to the TEIS Point of Entry (POE)?</li> <li>4. When parents or guardians refuse referral to the TEIS Point of Entry (POE) does the agency document that parents or guardians have been informed of their rights under IDEA?</li> <li>5. When families decline consent for referral to the TEIS Point of Entry (POE) but elects to pursue early intervention, does the agency: <ul style="list-style-type: none"> <li>• assign a qualified service coordinator to assist and enable the child and family</li> <li>• complete a multidisciplinary evaluation to determine eligibility</li> <li>• develop and implement an IFSP</li> </ul> </li> <li>6. Does the agency refer to other appropriate agencies, with parental consent, if the child is determined not to be eligible for early intervention services?</li> <li>7. Do primary referral sources make referrals to TEIS no more than two working days after the child has been identified?</li> </ol>
<ol style="list-style-type: none"> <li>1. <b>Primary referral source-</b> includes <ol style="list-style-type: none"> <li>(i) Hospitals, including prenatal and postnatal care facilities'</li> <li>(ii) Physicians</li> <li>(iii) Parents</li> <li>(iv) Child care programs</li> <li>(v) Local education facilities</li> <li>(vi) Public health facilities</li> <li>(vii) Other social service agencies; and</li> <li>(viii) Other health care providers. CFR 303.321 (d) (3).</li> </ol> </li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> A. A multidisciplinary team will complete an evaluation to determine eligibility within 45 days of the infant or toddler's referral into the early intervention system.	
Authority CFR 303.16; 303.322; 303.300; 303.361; TN SBE Sec. 0520-1-10-.	
<b>Potential Data Sources</b>	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>evaluation reports</li> <li>Quantitative data</li> </ul> <ul style="list-style-type: none"> <li>TEIS &amp; agency family surveys</li> <li>See 2.1 A (L-ICC)</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
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Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>
<b><u>Indicator (of implementation).</u></b> <b>A.</b> A multidisciplinary team will complete an evaluation within 45 days of the infant or toddler's referral into the early intervention system
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency follow state policies and federal requirements in order to determine the child's continuing eligibility for early intervention services?</li> <li>2. Does the agency, to the greatest extent appropriate, conduct the evaluation in setting(s) that have been determined to be natural for the child and family?</li> <li>3. Does the agency correctly determine which children are eligible for early intervention services?</li> <li>4. Is there evidence that the child is evaluated according to IDEA and Tennessee Department of Education policies for evaluation of infants and toddlers?</li> <li>5. Is the initial evaluation completed within 45 days of the child's referral in to the early intervention system?</li> <li>6. Is there documentation that the evaluation includes the following: <ul style="list-style-type: none"> <li>• review of pertinent records and information related to the child's current health status and medical history</li> <li>• determination of the child's abilities, limitations and functioning in cognitive development, physical development (including vision and hearing), communication development, social/emotional development, and adaptive (self-help) development</li> <li>• informed clinical opinion as a component of the evaluation</li> <li>• an assessment of the unique needs of the child including the identification of the types of services appropriate to meet those needs?</li> </ul> </li> <li>7. Does the agency follow the requirement that no single procedure is used as the sole criterion for determining a child's eligibility?</li> <li>8. Is there documentation of circumstances that prevented the completion of the evaluation within the 45 day time limit?</li> </ol>
<b>Notes:</b> <b>1. Evaluation-</b> means the procedures used by appropriate qualified personnel to determine a child's initial and continuing eligibility under this part (C), consistent with the definition of "infants and toddlers with disabilities" in Sec. 303.16, including determining the status of the child in each of the developmental areas in paragraph (C ) (3) (ii) in this section. CFR 303.322 (b) <b>2. Informed Clinical Opinion-</b> As a component of the multidisciplinary evaluation to determine eligibility, informed clinical opinion means that the professional(s) have used-qualitative and quantitative information to assess the child's development. TN SBE 0520-1-10-.01 (26) <b>3. Non-Discriminatory Procedures-</b> The procedures must provide that public agencies responsible for the evaluation and assessment of children and families under this part shall ensure at a minimum, that- (a) Tests and other evaluation materials and procedures are administered in native language of the parents or other mode of communication unless it is clearly not feasible to do so; (b) Any assessment and evaluation procedures and materials that are used are selected and administered so as not to be racially or culturally discriminatory; (c) No single procedure is used as the sole criterion for determining a child's eligibility under this part; and (d) Evaluations and assessments are conducted by qualified personnel. <b>4. Assessment:</b> for IDEA Part C purposes means the ongoing procedures used by qualified personnel throughout the period of the child's eligibility under IDEA Part C to identify: (a) the child's unique strengths and needs and the services appropriate to meet those needs. (SBE 0520-1-10.01) 5. For additional information regarding eligibility requirements see Prematurity and Communication Guidelines.

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>B. Families are fully informed of all activities that will occur and records that will be accessed in the completion of the multidisciplinary evaluation process.</b>	
Authority CFR 303.401; 303.403; TN SBE Sec. 0520-1-10-.02 (9) ; 0520-1-10-.03 (2); 0520-1-10-.03 (3)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>consent forms</li> <li>written prior notice</li> <li>procedural safeguards</li> </ul> <ul style="list-style-type: none"> <li>Personnel interview</li> <li>Family data (surveys, forums, interviews)</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):          	
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E/A 2.1 B	

Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>B.</b> Families are fully informed of all activities that will occur and records that will be accessed in the completion of the multidisciplinary evaluation process.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Are parents fully informed, prior to the evaluation and assessment about the purpose, content and process?</li> <li>2. Does the agency inform families of the records that will be accessed while conducting the multidisciplinary evaluation?</li> <li>3. Do parents fully participate by determining the following: <ul style="list-style-type: none"> <li>• the extent of the role that they will play in the process</li> <li>• the measures to be used</li> <li>• the disciplines or persons to be involved in conducting the evaluations and assessments</li> <li>• when and how the information will be synthesized and shared; and who will have access to the information obtained</li> </ul> </li> <li>4. Is there documentation that parental consent was obtained prior to conducting the multidisciplinary evaluation?</li> </ol>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. <b>Multidisciplinary-</b> Multidisciplinary means the involvement of two or more disciplines or professions in the provision of integrated and coordinated services, including evaluation and assessment activities and development of IFSP. CFR 303.17; TN SBE 0520-1-10-.01 (35)</li> <li>2. <b>Profession or Discipline-</b>means a specific occupational category that: <ol style="list-style-type: none"> <li>(a) Provides early intervention services to children and their families under IDEA Part C</li> <li>(b) Has been established or designated by the State; and</li> <li>(c) Has required scope of responsibility and degree of supervision. TN SBE 0520-1-10-.01 (46)</li> </ol> </li> </ol>

<p align="center"><b>TENNESSEE</b>  <b>Part C Continuous Improvement Monitoring</b>  <b>Self-Assessment</b></p>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>C. A minimum of two different disciplines that best meet the needs of the child are involved in the evaluation/assessment.</b>	
<b>Authority</b> CFR 303.17; 303.22; 303.322; 303.323; 303.361; TN SBE Sec. 0520-1-10-.02 (9)	
<p align="center"><b>Potential Data Sources</b></p>	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>evaluation reports</li> <li>Quantitative data</li> </ul> <ul style="list-style-type: none"> <li>List of current evaluators</li> <li>List of available evaluators</li> </ul> </div>	
<p align="center"><b>Response</b></p>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):          	
Conclusions and Comments:          	
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Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>
<b><u>Indicator (of implementation)</u></b> <b>C.</b> A minimum of two different disciplines that best meet the needs of the child are involved in the evaluation/assessment.
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Is a minimum of two disciplines involved in the completion of the evaluation/assessment?</li> <li>2. Do the disciplines involved in the evaluation meet the needs of the child?</li> <li>3. Are the evaluations conducted and interpreted by qualified professionals who meet the requirements of the instrument?</li> <li>4. Is at least one of the professionals involved in conducting the evaluation: <ul style="list-style-type: none"> <li>• from the discipline of early childhood development; and</li> <li>• meet the Tennessee Professional Standards for Early Childhood Education and/or Early Childhood Special Education; or have verification of formal training and experience in field of early childhood development and/or early intervention; and</li> <li>• have experience in conducting developmental evaluations of young children?</li> </ul> </li> <li>5. Does the agency have copies of the evaluation/assessments that were used to determine eligibility and develop the IFSP including the family assessment?</li> </ol>
<b>Notes:</b> <ol style="list-style-type: none"> <li>1. <b>Discipline</b>-A specific occupational category that provides early intervention services to children eligible under Part C of IDEA and their families, has been designated by the state, and has required scope of responsibility and degree of supervision. Also known as profession. <i>IFSP Manual</i>, TN DOE 1-2000, Chapter 8, p. 5.</li> <li>2. This is applicable when the agency is responsible for determining eligibility for Part C early intervention services.</li> </ol>



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</b>	
<b><u>Indicator (of implementation)</u></b> <b>D.</b> The agency documents the child's initial or continuing eligibility for early intervention services through a comprehensive multidisciplinary evaluation.	
Authority CFR 303.16; 303.17; 303.300; 303.321; 303.345; 303.401; TN SBE Sec. 0520-1-10-.02 (7); 0520-1-10-.02 (8); 0520-1-10-.02 (9); 0520-1-10-.03 (2); 0520-1-10-.03 (10)	
<b>Potential Data Sources</b>	
<ul style="list-style-type: none"> <li>Record review</li> <li>eligibility documentation form</li> <li>Personnel interview</li> </ul>	<ul style="list-style-type: none"> <li>Family data (forums, survey, interview)</li> <li>Quantitative data</li> </ul>
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
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Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>D.</b> The agency documents the child's initial or continuing eligibility for early intervention services through a comprehensive multidisciplinary evaluation.</p>
<b>Guidance for Determining Compliance</b>
<ol style="list-style-type: none"> <li>1. Is the child's eligibility identification current and appropriate?</li> <li>2. Is the child's eligibility identification documented?</li> <li>3. Does the child's eligibility for early intervention system begin when the incoming service coordinator and the multidisciplinary team complete the documentation of the child's eligibility?</li> <li>4. Has the child's eligibility been documented prior to the delivery of early intervention services?</li> <li>5. Is a re-evaluation considered when: <ul style="list-style-type: none"> <li>• substantial progress in development is indicated by on-going assessments; or</li> <li>• changes in the child's diagnosed physical or mental condition are such that the child's current condition or status is no longer considered to have a probability of developmental delay</li> <li>• the child may no longer meet eligibility requirements for Tennessee's early intervention system?</li> </ul> </li> </ol>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. See <i>IFSP Manual</i>, TN DOE 1-2000, Chapter 3 for eligibility documentation requirements and forms.</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>E.</b> The evaluation/assessment process is culturally sensitive and administered in the native language of the parents or other mode of communication, unless it is clearly not feasible to do so.	
Authority CFR 303.323; TN SBE Sec. 0520-1-10-.02 (9)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>contact logs</li> <li>evaluation reports</li> <li>family assessments</li> </ul> <ul style="list-style-type: none"> <li>Personnel interview</li> <li>List of interpreters</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> <b>(Circle one)</b> <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1)</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>E/A 2.1 C</span> </div>	

Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.1 Children receive a multidisciplinary evaluation to determine eligibility for early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>E.</b> The evaluation/assessment process is culturally sensitive and administered in the native language of the parents or other mode of communication, unless clearly not feasible to do so.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Is there documentation that each family's culture and communication needs were considered when planning the evaluation/ assessment?</li> <li>2. If English is not the first language, was an interpreter an option?</li> <li>3. Were interpreters used in working with families in which English is a second language and for families using other forms of communication (example-sign language)?</li> </ol>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. <b>Culturally sensitive</b>-Cultural sensitivity implies that that cultural differences as well as similarities exist. Cultural sensitivity means being aware of the cultures represented in one's own state or region, learning about some general parameters of those cultures, and realizing that cultural diversity will affect families' participation. Anderson and Fenichel (1989) in <i>Developing Cross –Cultural Competence</i>, Lynch and Hanson, p. 6.</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b><i>Outcome/Desired Result: 2.2 Children who have been determined eligible for early intervention services receive ongoing assessments.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> Infants and toddlers who are eligible for early intervention services receive ongoing assessments in order to identify the child's unique strengths and needs.	
Authority CFR 303.322; 303.323; 303.342; 303.344; 303.361; TN SBE Sec. 0520-1-10-.02 (9); 0520-1-10-.03 (2); 0520-1-10-01 (3)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>progress reports</li> <li>assessment reports</li> <li>consent forms</li> </ul> <ul style="list-style-type: none"> <li>Family data (forum/interviews)</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>E/A 2.2 A</span> </div>	

Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b><i>Outcome/Desired Result: 2.2 Children who have been determined eligible for early intervention services receive ongoing assessments.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> Infants and toddlers who are eligible for early intervention services receive ongoing assessments in order to identify the child's unique strengths and needs.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Are parents fully informed, prior to the assessment, about the purpose, content and process?</li> <li>2. Are assessments conducted by qualified personnel trained to utilize appropriate methods and procedures?</li> <li>3. Does the assessment include the following: <ul style="list-style-type: none"> <li>• review of pertinent records related to the child's current health status and medical history</li> <li>• review of current information regarding the child's present level of functioning in each developmental areas</li> <li>• a description of the child's unique strengths and needs of the child in terms of each developmental area, including the identification of types services appropriate to meet those needs</li> <li>• synthesis and utilization of information from a variety of assessments</li> <li>• methods to determine services needed for the child and family</li> <li>• statement of informed clinical opinion</li> <li>• parent involvement, to the extent indicated by the parent(s); the service coordinator; early interventionists; and other professionals</li> <li>• selection and administration so as not to be racially or culturally discriminatory</li> <li>• the use of interpreters, when needed, to ensure full family participation for families who have limited English proficiency and for families using other forms of communication</li> <li>• setting(s) that has been determined to be natural for the child and family?</li> </ul> </li> <li>4. Are assessments completed at six-month intervals or more frequently if needed?</li> <li>5. Is the assessment information compiled in a timely manner prior to the six month reviews and annual IFSP to ensure current information is available to the IFSP team?</li> <li>6. Does the agency ensure that the parent/guardian is fully informed regarding the assessment process and has consented in writing to the proposed action?</li> </ol>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. <b>Informed Clinical Opinion-</b> As a component of the multidisciplinary evaluation to determine eligibility informed clinical opinion means that the professional(s) have used-qualitative and quantitative information to assess the child's development. TN SBE 0520-1-10-.01 (26)</li> <li>2. <b>Assessment:</b> for IDEA Part C purposes means the ongoing procedures used by qualified personnel throughout the period of the child's eligibility under IDEA Part C to identify: (a) the child's unique strengths and needs and the services appropriate to meet those needs. (SBE 0520-1-10.01)</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>	
<b>Outcome/Desired Result: 2.3 Families have the opportunity to participate in a voluntary family assessment.</b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The family is given the opportunity to participate in a family assessment, which identifies their concerns, priorities and resources and the supports and services necessary to enhance the family's capacity to meet the developmental needs of the child.	
Authority CFR 303.322; 303.344; TN SBE Sec. 0520-1-10-.02 (9)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>family assessment</li> <li>Inservice training record</li> </ul> <ul style="list-style-type: none"> <li>Family data ( surveys, family forum/interviews)</li> </ul> </div>	
<b>Response</b>	
<b>Indicator Achieved:</b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<div style="display: flex; justify-content: space-between;"> <span><b>TN Division of S. E. Use Only</b></span> <span><b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b></span> </div>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<small>See guidance for determining compliance on reverse side of this page.</small>	
<small>E/A 2.3 A</small>	

Guidance
<b>Cluster: 2.0 EVALUATION/ASSESSMENT</b>
<b>Outcome/Desired Result: 2.3 Families have the opportunity to participate in a voluntary family assessment.</b>
<p><b>Indicator (of implementation)</b></p> <p>A. The family is given the opportunity to participate in a family assessment, which identifies their concerns, priorities and resources and the supports and services necessary to enhance the family's capacity to meet the developmental needs of the child.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does agency document that the family's participation in the family assessment is voluntary?</li> <li>2. Do personnel trained in the use of appropriate methods and procedures conduct the family assessment?</li> <li>3. Does the family assessment include an interview?</li> <li>4. Is the family assessment completed within 45 days of referral prior to the initial IFSP?</li> <li>5. Does the agency discuss confidentiality regarding information to be shared at the IFSP meeting?</li> <li>6. Does the family assessment reflect: <ul style="list-style-type: none"> <li>• Family concerns</li> <li>• Family resources</li> <li>• Family priorities</li> <li>• Supports and services necessary to enhance the family's capacity to meet the developmental needs of the child.</li> </ul> </li> <li>7. If the agency did not complete the family assessment, did the agency request and obtain the copy of the family assessment?</li> </ol>
<p><b>Note:</b></p> <p><b>1. Concerns:</b> Areas that family members identify as needs, issues, or problems they want to address as part of the IFSP.</p> <p><b>2. Priorities:</b> A family's agenda and choices for how early intervention will be involved in family life.</p> <p><b>3. Resources:</b> The strengths, abilities, and formal and informal supports that can be mobilized to meet the family concerns, needs, or outcomes.(Kaufman and McGonigel)</p> <p><b>4. Support and Service:</b> Name or type of services and supports that are in place or desired by the family but are not required early intervention services. (Family assessment summary form instructions).</p> <p><b>5.</b> Refer to IFSP Manual for family assessment procedures.</p>



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 3.0 INDIVIDUALIZED FAMILY SERVICE PLAN (IFSP)</b>	
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> An initial meeting to develop the IFSP is held within 45 days of the child's referral into the early intervention system.	
Authority CFR 303.17; 303.322; 303.342; 303.343; 303.344; 303.321; 303.401; TN SBE Sec. 0520-1-10.02 (10); 0520-1-10.03 (2); 0520-1-10.03 (3)	
<b>Potential Data Sources</b>	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>IFSP</li> <li>IFSP invitation</li> <li>contact logs</li> </ul> <ul style="list-style-type: none"> <li>Family data (surveys forums)</li> <li>Quantitative data</li> <li>See 3.1 A (L-ICC)</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> <b>(Circle one)</b> <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):       	
Conclusions and Comments:       	
<b>TN Division of S. E. Use Only</b> <b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments     	
<div style="display: flex; justify-content: space-between;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>IFSP 3.1 A</span> </div>	

Guidance
<b>Cluster: 3.0 IFSP</b>
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> An initial meeting to develop the IFSP is held within 45 days of the child's referral into the early intervention system.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Is there documentation that the date from the child's referral into the early intervention system to the development of the IFSP is within 45 day?</li> <li>2. Do the family and other participants receive written notification of the IFSP no later than 10 days prior to the scheduled meeting data (unless the family requests otherwise with documentation)?</li> <li>3. Is the meeting set at a time and place that is convenient for the family and the participants?</li> <li>4. In the event of exceptional circumstances that make it impossible to complete the evaluation and assessment within 45 days (e.g., if a child is ill), does the agency (1) document those circumstances; and (2) develop and implement an interim IFSP, to the extent appropriate and consistent with Sec. 303.345 (b) (1) and (b) (2)?</li> <li>5. Are there representatives of at least two disciplines related to the individual needs of the child and family that develop and evaluate each initial or annual IFSP?</li> <li>6. Do the following persons sign or indicate participation at the IFSP meeting: <ul style="list-style-type: none"> <li>• parents</li> <li>• evaluator or representative</li> <li>• incoming service coordinator</li> <li>• service provider</li> <li>• interpreter, if needed</li> <li>• advocates and other family members, as requested</li> </ul> </li> <li>7. Is there documentation of reasons for delay when initial IFSP is not developed within 45 days?</li> </ol>
<p><b>Note:</b></p> <ol style="list-style-type: none"> <li>1. All of the above guidance applies to those agencies that are responsible for arranging the IFSP meeting.</li> <li>2. <b>Interim IFSP</b>-means a temporary IFSP that is developed in accordance with IDEA Part C and TEIS Policies and Procedures to address an immediate need for services by an eligible infant or toddler when exceptional circumstances related to the child make it impossible to complete the evaluation within 45 days. The Interim IFSP ensures that the requirement for a timely evaluation and assessment are not circumvented. TN SBE 0520-1-10-.01</li> </ol>

**TENNESSEE**  
**Part C Continuous Improvement Monitoring**  
**Self-Assessment**

**Cluster: 3.0 IFSP**

***Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).***

**Indicator (of implementation)**

**B.** The results of the evaluation/assessment process are used to develop a comprehensive IFSP for the child.

Authority  
 CFR 303.322; 303.344; TN SBE Sec. 0520-1-10.02 (10)

**Potential Data Sources**

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>• Record reviews               <ul style="list-style-type: none"> <li>• IFSPs</li> <li>• progress notes</li> <li>• evaluations/assessments</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>• Family data (forum/interview)</li> <li>• Personnel interview</li> </ul> |
|--|--|

**Response**

**Indicator Achieved:**  
 (Circle one)    **Yes**            **No**            **Partial**

***If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))***

Data Sources Utilized (Attach analysis of Data to support conclusion/s):

Conclusions and Comments:

**TN Division of S. E. Use Only**

**Status:**   ☐ **Compliance**   ☐ **Non-Compliance**

Date of Validation:  
 Monitoring Consultant/s Reviewing:  
 Additional Information/Comments

Guidance	
<b>Cluster: 3.0 IFSP</b>	
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>	
<b><u>Indicator (of implementation)</u></b>	
<b>B.</b> The results of the evaluation/assessment process are used to develop a comprehensive IFSP for the child.	
Guidance for Determining Compliance	
<ol style="list-style-type: none"> <li>1. Is the information gathered: <ul style="list-style-type: none"> <li>• during the child's evaluation/assessment incorporated into the IFSP?</li> <li>• from the family assessment, including information regarding daily routines, incorporated in the development of the IFSP?</li> <li>• regarding present levels of development based on professionally acceptable objective criteria?</li> </ul> </li> <li>2. Does the IFSP reflect the results of evaluation/assessments that were completed by the agency? If no, is there documentation of efforts made to obtain and include the information in the IFSP?</li> </ol>	
<b>Note:</b> <b>Professionally acceptable objective criteria:</b> See evaluation and assessment CFR 303.322 and Non-discriminatory procedures 303.323. See page p. 10 of this document.	

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
Cluster: 3.0 IFSP	
<b>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</b>	
<b>Indicator (of implementation)</b> <b>C.</b> The written IFSP includes statements of major outcomes, action steps, specific services and natural supports expected for the child and the family.	
Authority CFR 303.344; TN SBE Sec. 0520-1-10-.02 (10)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Record review</li> <li>• IFSP</li> <li>• Family data (forum/interview)</li> </ul>	
<b>Response</b>	
<b>Indicator Achieved:</b> <b>(Circle one)</b> <b>Yes</b> <b>No</b> <b>Partial</b>	<b>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b> <span style="float: right;"><b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b></span>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<small>See guidance for determining compliance on reverse side of this page.</small> <span style="float: right;"><small>IFSP 3.1 C</small></span>	

Guidance
<b>Cluster: 3.0 IFSP</b>
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>
<p><b>Indicator (of implementation)</b></p> <p><b>C.</b> The written IFSP includes statements of major outcomes, action steps, specific services and natural supports expected for the child and the family.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Are outcome statements <ul style="list-style-type: none"> <li>• measurable for progress toward achieving the outcome</li> <li>• written prior to the discussion of services and supports</li> <li>• reflect the family's priorities intended for the child and family?</li> </ul> </li> <li>2. Do the action steps include the following: <ul style="list-style-type: none"> <li>• statement describing actions that are needed to achieve the outcomes</li> <li>• steps and strategies for implementation of the action steps</li> <li>• identification of individuals or agencies responsible for ensuring the implementation of these actions</li> <li>• natural supports (where available) incorporated in the specific strategies?</li> </ul> </li> <li>3. Does the IFSP services page include the following: <ul style="list-style-type: none"> <li>• frequency</li> <li>• intensity</li> <li>• location-specification of natural environment</li> <li>• methods of service delivery</li> <li>• payor source</li> <li>• dates the services will begin and how long they will be offered</li> <li>• statement of justification when services are not provided in a natural environment?</li> </ul> </li> <li>4. Is the IFSP written in language that is understandable by the family?</li> <li>5. Are the early intervention services that are identified in the IFSP, based in the routines that are natural to the lifestyle of the individual child and family?</li> <li>6. Do the strategies that are identified in the IFSP enhance the learning environments?</li> <li>7. Does the discussion regarding natural environments identify when and where in a family's normal routine interventions will be most effective?</li> </ol>
<p><b>Note:</b></p> <ol style="list-style-type: none"> <li>1. Additional information regarding early intervention services and natural environments is found in SBE 050-1-10.02 (11) p. 35 and <i>IFSP Manual</i>, Chapter 6, pp. 44-48.</li> <li>2. <b>Early Intervention Services</b>-means services that (1) are designed to meet the needs of each child eligible and the needs of the family related to enhancing the child's development; (2) are selected in collaboration with the parents; and (3) are provided (i) under public supervision; (ii) by qualified personnel; (iii) in conformity with an IFSP; and (4) at no cost, unless subject o Sec. 303.520 (b) (3), Federal or State law provides for a system of payments by families, including a schedule of sliding fees; and (4) meets the standards of the State, including requirements of this part. CFR 303.12.</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
Cluster: 3.0 IFSP	
<b>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</b>	
<b>Indicator (of implementation)</b> D. A periodic review of the IFSP is conducted every six months and annually	
Authority CFR 303.342; 303.343; 303.346: TN SBE Sec. 520-1-10-.02 (10)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Record reviews</li> <li>• contact logs</li> <li>• conference notes</li> <li>• IFSPs</li> <li style="margin-left: 400px;">• Quantitative data</li> </ul>	
<b>Response</b>	
<b>Indicator Achieved:</b> (Circle one)    Yes            No            Partial	<b>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b> <span style="float: right;"><b>Status:</b>   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</span>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

Guidance
<b>Cluster: 3.0 IFSP</b>
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>
<b><u>Indicator (of implementation).</u></b> <b>D.</b> A periodic review of the IFSP is conducted every six months and annually
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Is there documentation that a review of the IFSP took place at six months, or more frequently, after the development of the IFSP?</li> <li>2. Is there documentation that the IFSP is evaluated annually?</li> <li>3. Do the 6 month review and annual review include written documentation of progress made toward achieving the outcomes identified on the previous IFSP?</li> <li>4. In the development of the annual IFSP, is the previous IFSP reviewed/evaluated to determine whether outcomes are to be carried forward to the annual IFSP?</li> <li>5. When the six month review and annual review of the IFSP is late, is there documentation of the reason for the delay?</li> </ol>
<b>Note:</b> <b>1.</b> All dates are calculated from the initial IFSP.



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
Cluster: 3.0 IFSP	
<b>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</b>	
<u><b>Indicator (of implementation)</b></u> <b>E.</b> The IFSP includes steps to support the transition of the infant or toddler from Part C.	
Authority CFR 303.148; 303.344; TN SBE Sec. 0520-1-10-.02 (10)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Record review               <ul style="list-style-type: none"> <li>• IFSP</li> <li>• Transition conference forms</li> </ul> </li> <li>• Family data (parent interviews)</li> <li>• 618 data</li> <li>• Quantitative data</li> </ul>	
<b>Response</b>	
<u><b>Indicator Achieved:</b></u> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	

See guidance for determining compliance on reverse side of this page.

IFSP 3.1 E

Guidance
<b>Cluster: 3.0 IFSP</b>
<b><i>Outcome/Desired Result: 3.1 Each child receiving early intervention services has a current Individualized Family Service Plan (IFSP).</i></b>
<b><u>Indicator (of implementation)</u></b> <b>E.</b> The IFSP includes steps to support the transition of the infant or toddler from Part C.
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Are steps beginning at no later than age two to support the transition of the child from Part C included in the IFSP? If child is referred into the early intervention system after age two, does the inclusion of transition steps begin at the initial IFSP?</li> <li>2. Do the IFSP and annual IFSPs include a continuous review and upgrading of the transition plans beginning at age two?</li> <li>3. Does the IFSP include steps to help the child adjust to the new environment?</li> <li>4. Do the transition plans include a discussion with parents regarding: <ul style="list-style-type: none"> <li>• future placements</li> <li>• unique issues related to the child and family's transition</li> <li>• training regarding IDEA Part B procedures</li> <li>• preparation for the transmission of information about the child to the LEA including evaluations and assessments information and copies of the IFSP?</li> </ul> </li> </ol>
<b>Note:</b> 1. See Cluster 5.0 Transition for additional information.

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 4.0 SERVICE COORDINATION</b>	
<b><i>Outcome/Desired Result: 4.1 Families have access to a Service Coordinator that facilitates ongoing, timely early intervention services in natural environment.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A. The incoming service coordinator oversees the eligibility process.</b>	
Authority CFR 303.23; 303.323; 303.321; 303.344, 303.400; 303.405; TN SBE Sec. 0520-1-10-.02 (6); 0520-1-10-.02 (9); 0520-1-10-.03 (3) CFR ; 0520-1-10-.02 (5); 0520-1-10-.03 (2); 0520-1-10-.03 (4)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>eligibility documentation</li> <li>evaluations</li> <li>contact notes</li> </ul> <ul style="list-style-type: none"> <li>Child count</li> <li>Quantitative data</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	
SC 4.1 A	

Guidance
<b>Cluster: 4.0 SERVICE COORDINATION</b>
<b><i>Outcome/Desired Result: 4.1 Families have access to a Service Coordinator that facilitates ongoing, timely early intervention services in natural environment.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> The incoming service coordinator oversees the evaluation to determine eligibility.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Is each family assigned an incoming service coordinator through the TEIS point of entry at referral into the early intervention system unless other wise specified by the family?</li> <li>2. During the initial meeting, does the incoming service coordinator complete the following activities: <ul style="list-style-type: none"> <li>• explanation of the scope of early intervention services and the benefits that are available</li> <li>• discussion of procedural safeguards and with a copy provided to the family</li> <li>• request for parental consent in writing for completion of the multidisciplinary evaluation and family assessment</li> </ul> </li> <li>3. Does the incoming service coordinator complete the following activities: <ul style="list-style-type: none"> <li>• arrange tests and other evaluation materials and procedures to be administered in the native language of the parents or other modes of communication, unless it is clearly not feasible to do so</li> <li>• coordination of the multidisciplinary evaluation and assessment activities prior to the initial IFSP</li> <li>• compliance with the requirement that no single procedure is used as the sole criterion for determining eligibility?</li> </ul> </li> </ol>
<p><b>Note</b></p> <p><b>1. Incoming Service Coordinator</b>-means the individual designated to assist the child and family from the time of initial referral into the early intervention system through the initial IFSP process including the multidisciplinary evaluation and assessment and the development of the IFSP document. TN SBE 0520-1-10-.01</p>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 4.0 SERVICE COORDINATION</b>	
<b><i>Outcome/Desired Result: 4.1 Families have access to a Service Coordinator that facilitates ongoing, timely early intervention services in natural environment.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>B.</b> The ongoing service coordinator assists the family in facilitating the timely delivery of services, the coordination of early intervention services, and other services as needed by the child or family.	
Authority CFR. 303.22; 303.23; 303.342; 303.343; CFR: 303.322; 303.361; TN SBE Sec 0520-1-10-.02 (6); 0520-1-10-.02 (9); 0520-1-10-.02 (3)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>Family data (forum/interview, surveys)</li> <li>Personnel interview</li> </ul> <ul style="list-style-type: none"> <li>List of in service training</li> <li>Job description</li> <li>Agency policies</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>SC 4.1 B</span> </div>	

Guidance
<b>Cluster: 4.0 SERVICE COORDINATION</b>
<b><i>Outcome/Desired Result: 4.1 Families have access to a Service Coordinator that facilitates ongoing, timely early intervention services in natural environment.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>B.</b> The service coordinator assists the family in facilitating the timely delivery of services, the coordination of early intervention services, and other services as needed by the child or family.</p>
<b>Guidance for Determining Compliance</b>
<ol style="list-style-type: none"> <li>1. Is the family involved in the selection of a designated service coordinator?</li> <li>2. Does each child eligible under Part C and the child's family have one service coordinator who is responsible for: <ul style="list-style-type: none"> <li>• coordinating all services across agency lines; and</li> <li>• serving as the single point of contact for helping parents to obtain the service and assistance they need</li> <li>• assisting and enabling the child and family to receive rights, procedural safeguards</li> </ul> </li> <li>3. Do the service coordinator activities include the following: <ul style="list-style-type: none"> <li>• coordinating the performance of evaluations and assessments</li> <li>• ensuring implementation of the IFSP</li> <li>• assisting families in identifying available service providers that support the family's capacity to enhance the development of their child</li> <li>• coordinating and monitoring the delivery of available services</li> <li>• informing families of the availability of advocacy services</li> <li>• coordinating with medical and health providers</li> <li>• facilitating the development of a transition plan to preschool services, if appropriate</li> </ul> </li> <li>4. Does the child's record reflect ongoing contact with family based on individualized needs of the child and family?</li> <li>5. Through all phases of service delivery, is the service coordinator responsive to the needs and desires of the family?</li> <li>6. Does the agency have policies regarding the mission and philosophy of family-centered services and the role of service coordinators?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 5.0 TRANSITION</b>	
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A. The agency delivers services and supports beginning at age 2 that prepare the child and family for transition.</b>	
Authority CFR 303.344; 303.148; TN SBE Sec. 0520-1-10-.02 (10), (12); 0520-1-10-.03 (3), (5)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Record review</li> <li>progress notes</li> <li>notification letter</li> <li>contact notes</li> </ul>	<ul style="list-style-type: none"> <li>Family forum</li> <li>Personnel interviews</li> <li>Quantitative data</li> <li>School data (surveys/forum)</li> </ul>
<b>Response</b>	
<b>Indicator Achieved:</b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

<b>Cluster: 5.0 TRANSITION</b>
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>
<b><u>Indicator (of implementation).</u></b> <b>A.</b> The agency delivers services and supports beginning at age 2 that prepare the child and family for transition.
<b>Guidance for Determining Compliance</b>
<ol style="list-style-type: none"> <li>1. Beginning at age 2, with parental consent, does the agency implement transition awareness activities? If the child is referred into the early intervention system after age 2, do transition awareness activities begin immediately?</li> <li>2. Does the agency have ongoing discussion regarding the transition process with families?</li> <li>3. Is there a shared delivery of services when appropriate, to prepare the child for transition?</li> <li>4. Is the family informed of all options at the time of transition?</li> <li>5. Is there documentation that the LEA is notified in writing of the child's expected transition on or before the child's second birthday?</li> </ol>
<b>Note:</b> 1. Refer to page 34 for transition plan elements.



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 5.0 TRANSITION</b>	
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>B.</b> A transition planning conference is held for each child receiving early intervention services in order to ensure a smooth transition to preschool or other appropriate services.	
Authority CFR 303.344; 303.148; TN SBE Sec. 0520-1-10-.02 (10), (12); 0520-1-10-.03 (3), (5)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Record review</li> <li>Transition conference summary</li> <li>School data (surveys/forum)</li> <li>Quantitative data</li> </ul>	<ul style="list-style-type: none"> <li>Family data (forum/surveys)</li> <li>Personnel interviews</li> <li>Public awareness materials</li> <li>List of school systems</li> <li>List of programs (for children over age 3)</li> </ul>
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

Guidance
<b>Cluster: 5.0 TRANSITION</b>
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>
<p><b><u>Indicator (of implementation).</u></b>  <b>B.</b> A transition planning conference is held for each child receiving early intervention services in order to ensure a smooth transition to preschool or other appropriate services.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Are parents actively involved in transition planning?</li> <li>2. With parental consent, does the agency arrange a transition conference with the TEIS staff, family, LEA and other service providers (as appropriate), no later than 90 days (and up to 6 months) prior to the child's third birthday?</li> <li>3. Does the agency make reasonable efforts to convene a transition planning conference among TEIS, the family, and providers of other appropriate services for non-eligible children to discuss other options for the child and family?</li> <li>4. Are transition planning conferences conducted individually for each child and family?</li> <li>5. Does the transition planning conference summary indicate who was present, including: <ul style="list-style-type: none"> <li>• Designated service coordinator</li> <li>• TEIS representative (if not the same as the designated service coordinator)</li> <li>• LEA representative</li> <li>• Other early intervention agency representatives, as appropriate</li> </ul> </li> <li>6. Does the transition planning conference include: <ul style="list-style-type: none"> <li>• Include who was invited and present</li> <li>• discussion of possible preschool services that the child may receive if determined eligible for Part B;</li> <li>• a review of the child's program options from the period from the child's third birthday through the remainder of the school year: and</li> <li>• further development and documentation of the child's transition plan</li> <li>• plans to share exit summaries from the appropriate early intervention agencies with the LEA or other appropriate services</li> </ul> </li> <li>7. Are LEA representatives invited to the transition-planning conference meeting?</li> <li>8. Does the agency send relevant information to the receiving agencies with written consent?</li> <li>9. Is a copy of the Part B procedural safeguards provided to the family?</li> </ol>
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. The designated service coordinator and TEIS representative may be one in the same. However, if the designated service coordinator is not employed through TEIS, a TEIS representative must participate in the transition conference.</li> <li>2. Refer to IFSP Manual for further guidance regarding transition activities.</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 5.0 TRANSITION</b>	
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>C.</b> Families of children, who are exiting the early intervention system, including those children who are eligible and those children not eligible for Part B services, will be informed of opportunities to participate in community based services and all other options available at transition.	
Authority CFR 303.344; TN SBE Sec. 0520-1-10-.02 (12)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Records</li> <li>Transition conference summary</li> <li>Child count data</li> </ul>	<ul style="list-style-type: none"> <li>Family data (forum/survey)</li> <li>Personnel interview</li> <li>List of programs (for children over age 3)</li> </ul>
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>T 5.1 C</span> </div>	

Guidance
<b>Cluster: 5.0 TRANSITION</b>
<b><i>Outcome/Desired Result: 5.1 The agency participates in the development and implementation of a transition plan for each child prior to exiting the early intervention system (Part C).</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>C.</b> Families of children, who are exiting the early intervention system, including those children who are eligible and those children not eligible for Part B services, will be informed of opportunities to participate in community based services and all other options available at transition.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency, during transition process, provide information regarding a variety of service options after the child is age 3, including: <ul style="list-style-type: none"> <li>• training and public awareness materials that include a full range of options for children after age 3</li> <li>• community based services for children who are not Part B eligible</li> </ul> </li> <li>2. Are families informed that eligibility determination for IDEA Part B services and development of the IEP are the responsibility of the LEA?</li> <li>3. Do agency policies reflect that the granting of an early intervention waiver through any state or locally funded program does not alter the IDEA Part B eligible child's right to FAPE?</li> <li>4. Do transition procedures facilitate the requirement that eligibility for Part B that is determined by the LEA be completed in a timely manner so that the IEP is develop for the child and in effect on the child's third birthday?</li> <li>5. Does the agency assist families in planning site visits to prospective service agencies?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 6.0 PROCEDURAL SAFEGUARDS</b>	
<b>Outcome/Desired Result: 6.1 Procedural safeguards protect the rights of parents throughout the early intervention process.</b>	
<b><u>Indicator (of implementation)</u></b> <b>A. The agency has policies and procedures that insure that parents are informed of procedural safeguards.</b>	
Authority CFR 303.400; 303.402; 300.562; TN SBE Sec. 0520-1-10-.02 (5); 0520-1-10-.03 (3)(5)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Policy/procedural manual</li> <li>Personnel interview</li> </ul>	<ul style="list-style-type: none"> <li>Family data (forum/interviews/surveys)</li> <li>Due process, mediation, complaints and grievances</li> </ul>
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

Guidance	
<b>Cluster: 6.0 PROCEDURAL SAFEGUARDS</b>	
<b>Outcome/Desired Result: 6.1 Procedural safeguards protect the rights of parents throughout the early intervention process.</b>	
<b>Indicator (of implementation)</b> <b>A.</b> The agency has policies and procedures that insure that parents are informed of procedural safeguards.	
Guidance for Determining Compliance	
<ol style="list-style-type: none"> <li>1 How are parents notified of their rights in a clear and understandable way, including the use of their native language, unless clearly not feasible to do so?</li> <li>2 Are parents informed of rights and provided a copy of <i>Rights of Infants and Toddlers with Special Needs</i>?</li> <li>3 Does the agency: <ul style="list-style-type: none"> <li>• inform parents of their right to review records; and the timelines regarding the production and correction of records?</li> <li>• provide parents a clear explanation of confidentiality of records</li> <li>• provide information to the family regarding informed consent?</li> <li>• inform parents of complaint and grievance procedures within their agency and the Part C system</li> <li>• provide information about Part B parental rights and responsibilities prior to transition?</li> </ul> </li> </ol>	
<ol style="list-style-type: none"> <li>1. <b>Informed Consent-</b> means the parent has been informed of all information relevant to the activity for which the consent is sought in the parent's native language or mode of communication; understands and agrees in writing to the carrying out of the activity for which the consent is sought and the consent describes the activity and lists the records (if any) that will be released and to whom; and understands that the granting of consent is voluntary on the part of the parent and may be revoked at any time. SBE 0520-1-10-.01</li> <li>2. <b>Native Language-</b>means (a) the language normally used by the individual, or, in case of a child, the language normally used by the parents of the child; (b) in all direct contact with a child (including evaluation), the language normally used by the child in the home or learning environment; and (c) for an individual with deafness or blindness, or for an individual with no written language, the mode of communication is that normally used by the individual (such as sign language, Braille, or oral communication). TN SBE 0520-1-10-.01</li> <li>3. <b>Parent-</b>means (a) a natural or adoptive parent of a child; (b) a guardian, but not the State if the child is a ward of the State; (c) a person acting in the place of a parent (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child's welfare); (d) a surrogate parent who has been appointed in accordance with 34 CFR 303.406; or a foster parent may act as a parent if the natural parent's authority to make decisions on the child's behalf has been extinguished under Tennessee law; and the foster parent (1) has an ongoing, long-term parental relationship with the child or more than one year in duration; (2) is willing to make decisions required of parents under the IDEA; and (3) has no interest that would conflict with the interest of the child. TN SBE 0520-1-10-.01</li> </ol>	

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 6.0 PROCEDURAL SAFEGUARDS</b>	
<b>Outcome/Desired Result: 6.1 Procedural safeguards protect the rights of parents throughout the early intervention process.</b>	
<b><u>Indicator (of implementation)</u></b> <b>B. Agencies implement policies and procedures that protect the rights of parents.</b>	
Authority CFR 303.402;303.401; 303.460; 303.562; 303.567; TN SBE Sec. 0520-1-10-.03 (3)(5); 0520-1-10-.02 (5); 0520-1-10-.04	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Policy /procedure manual</li> <li>Record reviews</li> <li>Training records</li> </ul> <ul style="list-style-type: none"> <li>Family forum</li> <li>List of complaints</li> <li>Request for due process</li> <li>List of available surrogate parents</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>PS 6.1 B</span> </div>	

Guidance	
<b>Cluster: 6.0 PROCEDURAL SAFEGUARDS</b>	
<b><i>Outcome/Desired Result: 6.1 Procedural safeguards protect the rights of parents throughout the early intervention process.</i></b>	
<b>Indicator (of implementation)</b>	
<b>B. Agencies implement policies and procedures that protect the rights of parents.</b>	
Guidance for Determining Compliance	
<ol style="list-style-type: none"> <li>Does the agency obtain written informed consent before: <ul style="list-style-type: none"> <li>conducting the initial evaluation and ongoing assessments</li> <li>conducting the family assessment</li> <li>initiating the provision of early intervention services</li> <li>disclosing personally identifiable information to unauthorized persons</li> </ul> </li> <li>Does the agency implement policies that insure that parents have access to records within a timely manner?</li> <li>Do agency policies and procedures reflect the agency's privacy and confidentiality procedures as required by FERPA/HIPAA, as applicable?</li> <li>Does the agency protect confidentiality at collection, storage, disclosure and destruction stages?</li> <li>Does the agency obtain signed releases by parents or surrogate parents for sharing information?</li> <li>Does the agency provide families with written prior notice that is understandable and timely before the agency proposes or refuses to initiate a change in the provision of early intervention services including the following: <ul style="list-style-type: none"> <li>identification of the child's eligibility</li> <li>evaluation/assessment</li> <li>provision of services</li> <li>amend or destroy records</li> </ul> </li> <li>Does the agency inform the State Department of Education of complaints and request for due process and mediation for children who are Part C eligible in a timely manner?</li> <li>Are surrogate parents trained and assigned appropriately according to the <i>Tennessee Surrogate Parent Training Program</i> by TEIS for children who are Part C eligible?</li> </ol>	
<b>Notes:</b> <ol style="list-style-type: none"> <li><b>Personally identifiable information-</b> means the information that includes: (a) the name of the child's parent(s) or other family member(s); (b) the address of the child; (c) a personal identifier, such as the child's or parent's social security number, or (d) a list of personal characteristics or other information that would make it possible to identify the child with reasonable certainty. TN SBE 0520-1-10-.01 (42)</li> <li><b>Surrogate parent-</b> for TEIS purposes, means an individual who has been assigned by the lead agency to act as a surrogate for the parent in order to ensure that the rights of a child eligible under IDEA Part C are protected. TBSBE 0520-1-10-.01 (55) TEIS shall appoint a surrogate parent to represent the child when (1) no parent can be identified; (2) a natural parent or legal guardian can not be located by phone, visits or certified letter to the last known address; (3) the child is a ward of the State. TN SBE 0520-1-10-.03 (1)</li> <li><b>FERPA-</b> Family Educational Rights and Privacy Act is a federal law giving access rights to parents to their children's educational records. FERPA gives parents the rights to inspect all educational records. This Act governs the release of records by educational agencies. This Act covers records maintained under Part C of IDEA. All children receiving early intervention services fall under FERPA.</li> <li><b>HIPAA-</b>Health Insurance Portability and Accountability Act of 1996 require the Department of Health and Human Services to establish national standards for electronic health care transactions and national identifiers for providers, health plans, and employers. It addresses the security and privacy of health data. (Centers for Medicare &amp; Medicaid Services (CMS) <a href="http://www.cms.hhs.gov/hipaa/">http://www.cms.hhs.gov/hipaa/</a>)</li> </ol>	



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 7.0 FAMILY-CENTERED SERVICES</b>	
<b>Outcome/Desired Result: 7.1 Early intervention service providers provide appropriate early intervention services.</b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> Early intervention services providers provide appropriate early intervention services to children who are Part C eligible in accordance with each Individualized Family Service Plan (IFSP).	
Authority CFR 303.12; 303.346; 303.525; 303.126; 303.520; 303.521; 303.527TN SBE Sec. 0520-1-10-.02 (11); 0520-1-10.07 (3)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>progress reports</li> <li>lesson/intervention plans</li> <li>service delivery dates</li> <li>Invoices</li> </ul> <ul style="list-style-type: none"> <li>Family data ( forum/surveys)</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):     	
Conclusions and Comments:       	
<div style="display: flex; justify-content: space-between;"> <div> <b>TN Division of S. E. Use Only</b> </div> <div> <b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b> </div> </div>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>FCS 7.1 A</span> </div>	

Guidance
<b>Cluster: 7.0 FAMILY-CENTERED SERVICES</b>
<b><i>Outcome/Desired Result: 7.1 Early intervention service providers provide appropriate early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> Early intervention services providers provide appropriate early intervention services to children who are Part C eligible in accordance with each Individualized Family Service Plan (IFSP).</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Do the early intervention services providers develop, implement, and evaluate appropriately written intervention plans of service for those children for whom they have been identified to provide services on the IFSP?</li> <li>2. Are intervention plans/programs developed prior to the delivery of early intervention services?</li> <li>3. Do the intervention plans include specific activities for parents?</li> <li>4. Do intervention plans build on strengths of the infant or toddler?</li> <li>5. Do the intervention plans address the family-identified needs and priorities based on daily routines?</li> <li>6. Are the intervention plans based on the outcomes identified on the IFSP?</li> <li>7. Do the services that are provided by the agency support the outcomes identified on the IFSP?</li> <li>8. Are the services that are provided by the agency consistent with the frequency and methods identified on the IFSP?</li> <li>9. Do the early intervention service providers provide services in a timely manner from the point of referral?</li> <li>10. Does the agency document in progress notes the progress the child has made toward achieving outcomes identified on the IFSP?</li> <li>11. Does documentation include information regarding ongoing assessments?</li> <li>12. Are services provided at no cost to families?</li> <li>13. Do early intervention service providers fully inform parents about the services that their child is receiving including frequency, methods, and responsible party?</li> <li>14. Have parents agreed to the provision of services by the agency's early intervention service providers?</li> <li>15. Does the agency have information regarding the percentage of children, participating in program, that demonstrate improved and sustained functional abilities? (Cognitive development, physical development, including vision and hearing; communication development; social or emotional development; and adaptive development.) What is the agency's method to derive this information? See note.</li> </ol>
<p><b>Note:</b></p> <p>1. Possible data sources to assist in determining the percentage of children demonstrating improved and sustained functional abilities may include exit data on children who have reached their age appropriate developmental level; and reviews of outcomes and activities on IFSPs. (Part C Annual Performance Report, Reporting Procedures and Tables, Draft: OSEP, Examples of Possible Data Sources to Assist with Completion of APR (12/02).</p>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 7.0 FAMILY-CENTERED SERVICES</b>	
<b><i>Outcome/Desired Result: 7.1 Early intervention service providers provide appropriate early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>B.</b> Early intervention service providers provide services in natural environments based on the individual needs of the child and family.	
Authority CFR 303.12; 303.18; 303.167; TN SBE Sec. 0520-1-10.03 (11)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Record review</li> <li>progress notes</li> <li>monthly summaries</li> <li>lesson/intervention plans</li> </ul> <ul style="list-style-type: none"> <li>Family data (surveys/forums)</li> <li>Child Count data (618)</li> <li>Quantitative data</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> <b>(Circle one)    Yes                  No                  Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):     	
Conclusions and Comments:        	
<b>TN Division of S. E. Use Only</b>	<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

FCS 7.1 B

Guidance
<b>Cluster: 7.0 FAMILY-CENTERED SERVICES</b>
<b><i>Outcome/Desired Result 7.1 Early intervention service providers provide appropriate early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>B.</b> Early intervention service providers provide services in natural environments based on the individual needs of the child and family.</p>
TEIS Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1 Are services provided in the natural environment as identified by the family and based on the family's lifestyle and daily routine?</li> <li>2 Do the early intervention service providers use strategies and services that address family-identified needs and priorities?</li> <li>3 Do intervention plans identify strategies in the everyday routine of infants and toddlers and their families?</li> <li>4 Does the agency assist in ensuring traditionally under-served groups, including minority, low income and rural families have access to culturally competent services within their local geographical areas?</li> </ol>
<p><b>Note:</b></p> <ol style="list-style-type: none"> <li>1. Definition of settings: <ul style="list-style-type: none"> <li>• <b>Program Designed for Children with Developmental Delays or Disabilities-</b> This setting refers to an organized program of at least one hour in duration provided on a regular basis. The program is usually directed toward the facilitation of one or more developmental area. Examples include early intervention classrooms/centers and developmental child care programs.</li> <li>• <b>Program Designed for Typically Developing Children-</b> Services are provided in a program regularly attended by a group of children. Most of the children in this setting do not have a disability. For example, this includes children served in a regular nursery school and child care centers, mother's day out programs, library story times</li> <li>• <b>Home-</b> Services are provided in the principle residence of the child's family or caregivers. It may also include activities in the community that are typically engaged in by the family, such as grocery store, ball games, church, and park.</li> <li>• <b>Hospital (Inpatient) -</b> Hospital refers to a residential medical facility. Child must be receiving services on an inpatient basis.</li> <li>• <b>Residential facility-</b> Residential facility refers to a treatment facility which is not primarily medical in nature, where the infant or toddler currently resides.</li> <li>• <b>Service Provider Location-</b> Provider location services are provided at an office, clinic, or hospital where the infant or toddler comes for short periods of time (e.g., 45 minutes) to receive services.</li> <li>• <b>Other (Identify) -</b> Any service environment/setting not included above. Examples include phone (as in service coordination) or if the only component of the infant's early intervention services is parent counseling during which the child is not present and the child received no direct service, count as "Other"</li> </ul> <p>Note: Children are counted according to the type of program received at a location (environment), not the type of location. For example, children in a program designed for children with developmental delays or disabilities operated at a hospital should be counted under "program designed for developmental delays". Children who receive physical therapy at a hospital or on an outpatient basis should be counted under "service provider location." Children who are patients in a hospital should be counted under "hospital." (Office of Special Education Programs (OSEP), US Department of Education, 1999)</p> <li>2. Requirements for Programs for typically developing children: <ul style="list-style-type: none"> <li>• DHS license</li> <li>• 50/50 ratio</li> <li>• curriculum for typically developing children</li> </ul> </li> </li></ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 8.0 PERSONNEL</b>	
<b><i>Outcome/Desired Result: 8.1 Agency procedures assure qualified personnel to maintain high quality early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The agency assures that their early intervention personnel and service providers are appropriately qualified.	
Authority CFR 303.12 ;303.21; 303.361; CFR 303.22; 303.23; 303.360; TN SBE Sec. 0520-1-10-.02 (6)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Job descriptions</li> <li>• Contracts</li> <li>• Personnel interview</li> </ul>	<ul style="list-style-type: none"> <li>• Employee roster with qualifications</li> <li>• Policy manual</li> </ul>
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> <b>(Circle one)</b> <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1)</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	

See guidance for determining compliance on reverse side of this page.

P 8.1 A

Guidance
<b>Cluster: 8.0 PERSONNEL</b>
<b><i>Outcome/Desired Result: 8.1 Agency procedures assure qualified personnel to maintain high quality early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> The agency assures that their early intervention personnel and service providers are appropriately qualified.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency maintain current and relevant job descriptions for their agency that reflect the responsibilities of the agency's personnel?</li> <li>2. Do the agency's early intervention service providers (including agency personnel, individual service providers and contract service providers) meet educational qualifications specified by state standards?</li> <li>3. Does the agency provide appropriate supervision and administrative support for all staff including paraprofessionals?</li> <li>4. Do the agency early intervention service providers (including agency personnel, individual service providers and contract service providers) who conduct and interpret evaluations, or provide direct services to infants and toddlers and their families have the appropriate credentials or qualifications for the professional discipline for the early intervention service that they are rendering?</li> <li>5. Does the agency ensure that personnel who provide service coordination demonstrate knowledge and understanding about: <ul style="list-style-type: none"> <li>• Infants and toddlers who are eligible under IDEA Part C</li> <li>• IDEA Part C and regulations in the TN Board of Education Rule</li> <li>• The nature and scope of services available under Tennessee's early intervention system, the system of payments for services in Tennessee and other pertinent information.</li> </ul> </li> <li>6. Do the agency's personnel who provide service coordination possess the special knowledge, skills and abilities to service the unique needs of eligible infants and toddlers and their families in natural environments?</li> <li>7. Does the agency maintain current personnel records for each person employed by the agency including: <ul style="list-style-type: none"> <li>• applications</li> <li>• transcript and copy of diploma or GED</li> <li>• job descriptions</li> <li>• personal/professional references</li> <li>• documentation of completion of orientation</li> <li>• copy of current performance appraisal</li> <li>• copy of personal development plan</li> <li>• list of inservice training</li> <li>• copy of disciplinary actions</li> </ul> </li> </ol>
<p><b>Notes;</b></p> <p><b>1. Paraprofessional</b>-means an individual with at least a high school diploma or recognized equivalent that is employed in the provision of early intervention services under the supervision of a professional with appropriate credentials for their profession (licensed or certified according to Tennessee requirements) 20 USC 1111g (3). A paraprofessional shall meet the professional and employment standards set by the State Board of Education pursuant to TCA 49-10-110 (g) (2) (Traineeship and Fellowship) and this rule. TN SBE 0520-1-10-.01 (38)</p>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 8.0 PERSONNEL</b>	
<b><i>Outcome/Desired Result: 8.1 Agency procedures assure qualified personnel to maintain high quality early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>B.</b> Personnel employment processes include (1) background checks, (2) personal and professional references, and (3) follow-up on required references for early intervention service providers.	
Authority CFR 303.12; 303.21; 303.361	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Personnel interviews</li> <li>• Personnel records</li> </ul>	Policy manual
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	

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P 8.1 B

<b>Guidance</b>	
<b>Cluster: 8.0 PERSONNEL</b>	
<b><i>Outcome/Desired Result: 8.1 Agency procedures assure qualified personnel to maintain high quality early intervention services.</i></b>	
<b><u>Indicator (of implementation).</u></b>	
<b>B.</b> Personnel employment processes include (1) background checks, (2) personal and professional references, and (3) follow-up on required references for early intervention service providers.	
<b>Guidance for Determining Compliance</b>	
<ol style="list-style-type: none"> <li>1. Does the agency have a policy which requires and documents information from references when employing and/or contracting with early intervention service providers?</li> <li>2. Does the agency have a policy which specifies the procedures for background checks when employing and/or contracting with early intervention service providers?</li> <li>3. Does the agency have a policy which guides the decision –making process for employing and/or contracting with early intervention service providers once information is gathered?</li> <li>4. Does the agency maintain records of background checks, including abuse register and sex offender list?</li> </ol>	



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 8.0 PERSONNEL</b>	
<b><i>Outcome/Desired Result: 8.2 The agency has procedures to ensure that their early intervention service providers (including agency personnel, individual service providers and contract service providers) are competent to provide early intervention services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A. A personnel development plan is written for each professional and paraprofessional staff member</b>	
Authority CFR 303.21; 303.13; 303.360 ; 303.12	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>Orientation agendas</li> <li>Personnel files</li> </ul> </div> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>Personnel interviews</li> <li>Annual needs assessment results</li> <li>Inservice training records</li> </ul> </div> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<div style="display: flex; justify-content: space-between;"> <div> <b>TN Division of S. E. Use Only</b> </div> <div> <b>Status:</b>    <input type="checkbox"/> <b>Compliance</b>    <input type="checkbox"/> <b>Non-Compliance</b> </div> </div>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>P 8.2 A</span> </div>	

Guidance
<b>Cluster: 8.0 PERSONNEL</b>
<b><i>Outcome/Desired Result: 8.2 The agency has procedures to ensure that their early intervention service providers (including agency personnel, individual service providers and contract service providers) are competent to provide early intervention services.</i></b>
<b><u>Indicator (of implementation)</u></b> <b>A. A personnel development plan is written for each professional and paraprofessional.</b>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency have an orientation plan for their personnel and early intervention service providers (including agency personnel, individual service providers and contract service providers) that includes the following: <ul style="list-style-type: none"> <li>• information on program policies and procedures, federal and state laws and regulations, including Rights of Infants and Toddlers under Part C of IDEA</li> <li>• the agency's philosophy and mission</li> <li>• Rights of Infants and Toddlers and FERPA/HIPAA/CAPTA</li> <li>• Tennessee's early intervention system</li> </ul> </li> <li>2. Does the agency have a process for assessing personnel training needs annually that includes opportunity for personnel to express their individual needs?</li> <li>3. Is training provided based on identified needs?</li> <li>4. Does the agency's personnel have access to and participate in ongoing training regarding both required and best practices related to the provision of quality intervention services through state sponsored training and other training opportunities?</li> <li>5. Do the training opportunities include a variety of resources, including at least one local/district training opportunity?</li> <li>6. Are the agency's personnel including paraprofessionals, early intervention service providers (individual service providers and contract therapists) offered information regarding state sponsored training?</li> <li>7. Does amount of on-going inservice training hours/days meet the terms and conditions of the agency's contract or Grant Agreement?</li> <li>8. Does the agency ensure that personnel are skilled in and have access to ongoing training regarding participation, documentation and implementation of the IFSP process, as required under Part C of IDEA?</li> <li>9. Do the agency's evaluation schedule provide for a performance appraisal?</li> <li>10. Does the agency document discipline procedures?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
Cluster: 8.0 PERSONNEL	
<b>Outcome/Desired Result: 8.2 The agency has procedures to ensure that their early intervention service providers (including agency personnel, individual service providers and contract service providers) are competent to provide early intervention services.</b>	
<b>Indicator (of implementation)</b> <b>B.</b> The agency's early intervention service providers (including agency personnel, individual service providers and contract service providers) demonstrate knowledge and understanding of: (1) abuse and neglect laws; (2) policies and procedures; (3) individual reporting responsibilities prior to actual service delivery.	
Authority TCA: 37-1-403	
Potential Data Sources	
<ul style="list-style-type: none"> <li>Personnel files</li> <li>Personnel interview</li> </ul>	<ul style="list-style-type: none"> <li>Orientation/training record</li> <li>Agency policy manual</li> </ul>
<b>Response</b>	
<b>Indicator Achieved:</b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b> <span style="float: right;"><b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b></span>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page.	

Guidance
<b>Cluster: 8.0 PERSONNEL</b>
<b><i>Outcome/Desired Result: 8.2 The agency has procedures to ensure that their early intervention service providers (including agency personnel, individual service providers and contract service providers) are competent to provide early intervention services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>B.</b> The agency's early intervention service providers (including agency personnel, individual service providers and contract service providers) demonstrate knowledge and understanding of: (1) abuse and neglect laws; (2) policies and procedures; (3) individual reporting responsibilities prior to actual service delivery.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Do the early intervention service providers (including agency personnel, individual service providers and contract service provider) have an understanding of expectation in regard to abuse and neglect laws?</li> <li>2. Does agency's orientation/training for the early intervention service providers (including agency personnel, individual service providers and contract service providers) include the topics of abuse and neglect?</li> <li>3. Are the early intervention service providers (including agency personnel, individual service providers and contract service providers) knowledgeable about their responsibilities in reporting abuse and neglect?</li> <li>4. Does the agency's orientation/training emphasize requirements for reporting abuse and neglect?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 8.0 PERSONNEL</b>	
<b><i>Outcome/Desired Result: 8.3 The agency adequately allocates personnel resources to meet individual child and family needs through home or community based services.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The agency's personnel is adequate to ensure that children and families receive the services and supports that the agency is specified to provide according to the IFSP.	
Authority CFR 303.12; 303.128; 303.147; TN SBE Sec. 0520-1-10-.05 (7)	
Potential Data Sources	
<ul style="list-style-type: none"> <li>• Caseload documentation</li> <li>• Family forums</li> <li>• Personnel interviews</li> </ul>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b> <span style="float: right;"><b>Status:</b>   <input type="checkbox"/> <b>Compliance</b>   <input type="checkbox"/> <b>Non-Compliance</b></span>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page. <span style="float: right;">P 8.3 A</span>	

Guidance
<b>Cluster: 8.0 PERSONNEL</b>
<b><i>Outcome/Desired Result: 8.3 The agency adequately allocates personnel resources to meet individual child and family needs through home or community based services.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>A.</b> The agency's personnel is adequate to ensure that children and families receive the services and supports that the agency is specified to provide according to the IFSP.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency employ and maintain personnel who will participate in the development of an appropriate Individualized Family Service Plan (IFSP) and intervention program for children and their families?</li> <li>2. Does the agency employ and maintain personnel who implement appropriate intervention plans for children and families consistent with current IFSP?</li> <li>3. Are personnel available or accessible for families whose primary language is not English, including sign language?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b><i>Outcome/Desired Result: 9.1 Early intervention agencies provide services within State and Federal requirements.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A. Agency facilities maintain adequate health, safety and accessibility for children and families.</b>	
Authority CFR 303.12; 303.21; TCA 68-120-204	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <div> <ul style="list-style-type: none"> <li>Grant Agreement</li> <li>Site visit</li> </ul> </div> <div> <ul style="list-style-type: none"> <li>Agency licensure</li> <li>Record of annual inspection.</li> </ul> </div> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):     	
Conclusions and Comments:       	
<div style="display: flex; justify-content: space-between;"> <div> <b>TN Division of S. E. Use Only</b> </div> <div> <b>Status:</b>    <input type="checkbox"/> <b>Compliance</b>    <input type="checkbox"/> <b>Non-Compliance</b> </div> </div>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments       	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>GS 9.1 A</span> </div>	

Guidance	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b><i>Outcome/Desired Result: 9.1 Early intervention agencies provide services within State and Federal requirements.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> Agency facilities maintain adequate health, safety and accessibility for children and families.	
Guidance for Determining Compliance	
<ol style="list-style-type: none"> <li>1 Are the agency's offices and other facilities used by the program free of barriers?</li> <li>2 Is there assistive technology and interpretive services available for people who need them (such as TDD)? Does the agency have the ability to access interpretive services?</li> <li>3 Do contracted agencies that are providing on-site early intervention services have current licensure displayed within their facilities?</li> <li>4 Do contracted agencies that are providing on site early intervention services have a record of current inspection which demonstrates satisfactory results?</li> </ol>	
<b>Note:</b> 1. DMRS agencies refer to contracts regarding health and safety requirements.	



<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b>Outcome/Desired Result: 9.1 Early intervention agencies provide services within State and Federal requirements.</b>	
<b>Indicator (of implementation)</b> <b>B.</b> The agency establishes and maintains a system of operation that meets the requirements as defined within the Grant Agreement Between the State of Tennessee Department of Education and the Agency.	
Authority CFR 303.520; 303.521, 303.527, 303.526; 303.12	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Grant Agreement</li> <li>Quantitative data</li> </ul> <ul style="list-style-type: none"> <li>Child count data</li> </ul> </div>	
<b>Response</b>	
<b>Indicator Achieved:</b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:</b> <input type="checkbox"/> <b>Compliance</b> <input type="checkbox"/> <b>Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
See guidance for determining compliance on reverse side of this page	

GS 9.1 B

Guidance
Cluster: 9.0 General Supervision
<b>Outcome/Desired Result: 9.1 Early intervention agencies provide services within State and Federal requirements.</b>
<p><b>Indicator (of implementation)</b></p> <p><b>B.</b> The agency establishes and maintains a system of operation that meets the requirements as defined within the Grant Agreement Between the State of Tennessee Department of Education and the Agency.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the agency have a current approved Grant Agreement Between the State of Tennessee Department of Education and the agency on file?</li> <li>2. Is the agency's Grant Budget on file with approval documentation?</li> <li>3. Does the agency spend funds in accordance with Grant budget line items?</li> <li>4. Do the agency's invoices reflect actual expenditures and reimbursements made on actual cost expenditures?</li> <li>5. Does the agency maintain documentation for all charges against the State under the Grant Agreement with the State of Tennessee Department of Education for a period of three years from the date of final payment?</li> <li>6. Does the agency ensure that the early intervention services provided for eligible children meet the definition of early intervention services are provided in a manner consistent with state and federal requirements for services under IDEA Part C?</li> <li>7. Does the agency procure early intervention services by service providers in conformity with the applicable agency procurement procedures?</li> <li>8. Does the agency ensure that individuals or organizations seeking to provide early intervention services meet the requirements and standards established by the Lead Agency?</li> <li>9. Does the agency display signs of public accountability in a prominent place, located near passageways through which the public enters in order to receive the Grant supported services?</li> <li>10. Do notices, information pamphlets, press releases, research reports, signs and similar public notices prepared and released by the agency include the statement, "This project is funded under an agreement with the Tennessee Department of Education"?</li> <li>11. Does the agency have policies/procedures that address conflict of interest?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b><i>Outcome/Desired Result: 9.1 Early intervention agencies provide services within State and Federal requirements.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>C.</b> The agency is responsible for collecting information on services provided and submitting reports to the Department of Education as required or requested.	
Authority CFR 303.321; 303.540; TN SBE Sec. 0520-1-10-.02 (3) (4); 0520-1-10-.05 (4); 0520-1-10-.10 (1)	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Quantitative Data</li> <li>Attendance records</li> </ul> <ul style="list-style-type: none"> <li>Child Count Data</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> <b>(Circle one)</b> <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1)</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):   	
Conclusions and Comments:     	
<div style="display: flex; justify-content: space-between;"> <b>TN Division of S. E. Use Only</b> <b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b> </div>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments   	
<div style="display: flex; justify-content: space-between; font-size: small;">             See guidance for determining compliance on reverse side of this page.             <span>GS 9.1 C</span> </div>	

Guidance
<b>Cluster: 9.0 General Supervision</b>
<b><i>Outcome/Desired Result 9.1 Early intervention agencies provide services within State and Federal requirements.</i></b>
<p><b><u>Indicator (of implementation)</u></b></p> <p><b>D.</b> The agency is responsible for collecting information on services provided and submitting reports to the Department of Education.</p>
Guidance for Determining Compliance
<ol style="list-style-type: none"> <li>1. Does the program submit timely, accurate and complete Quantitative Data quarterly reports to the Department of Education?</li> <li>2. Does the program provide information in the form and format requested by the Department of Education to support the reporting of the annual Child Count Data (618) Collection in the specified timeframe?</li> <li>3. Does the agency that receives assistance under IDEA Part C submit financial and other written reports at the time and manner specified by the Department of Education?</li> <li>4. Does the agency maintain data of the following: <ul style="list-style-type: none"> <li>• number of referrals received and the referral source</li> <li>• number of children served</li> <li>• local child find efforts</li> <li>• type and quantity of early intervention services</li> <li>• availability and qualifications of service providers</li> <li>• information regarding the numbers of children who transition</li> <li>• training needs of service providers and the training received and provided by the agency</li> </ul> </li> <li>5. Does the agency maintain a daily record/attendance record of the type and quantity of services provided to children, families and/or other related persons or agencies?</li> </ol>

<b>TENNESSEE</b> <b>Part C Continuous Improvement Monitoring</b> <b>Self-Assessment</b>	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b><i>Outcome/Desired Result: 9.2 The agency participates in ongoing self-assessment and monitoring activities.</i></b>	
<b><u>Indicator (of implementation)</u></b> <b>A.</b> The agency's self-assessment includes all elements of agency program evaluation as part of monitoring by the Department of Education.	
Authority CFR 303.12; 303.501	
Potential Data Sources	
<div style="display: flex; justify-content: space-between;"> <ul style="list-style-type: none"> <li>Personnel interview</li> <li>Monitoring reports</li> <li>Corrective Action Plans/PIP</li> </ul> <ul style="list-style-type: none"> <li>Family forum/interviews</li> <li>Satisfaction surveys</li> <li>Data analysis</li> <li>Attendance logs for monitoring meetings</li> </ul> </div>	
<b>Response</b>	
<b><u>Indicator Achieved:</u></b> (Circle one) <b>Yes</b> <b>No</b> <b>Partial</b>	<b><i>If no or partial, complete Program Improvement Plan (P.I.P. form in appendices, (A1))</i></b>
Data Sources Utilized (Attach analysis of Data to support conclusion/s):	
Conclusions and Comments:	
<b>TN Division of S. E. Use Only</b>	
<b>Status:   <input type="checkbox"/> Compliance   <input type="checkbox"/> Non-Compliance</b>	
Date of Validation: Monitoring Consultant/s Reviewing: Additional Information/Comments	
<div style="display: flex; justify-content: space-between; font-size: small;"> <span>See guidance for determining compliance on reverse side of this page.</span> <span>GS 9.2 A</span> </div>	

<b>Guidance</b>	
<b>Cluster: 9.0 GENERAL SUPERVISION</b>	
<b><i>Outcome/Desired Result: 9.2 The agency participates in ongoing self-assessment and monitoring activities.</i></b>	
<b><u>Indicator (of implementation)</u></b>	
<b>A.</b> The agency's self-assessment includes all elements of agency program evaluation as part of monitoring by the Department of Education.	
<b>Guidance for Determining Compliance</b>	
<ol style="list-style-type: none"> <li>1 Does the agency assess its performance of its early intervention services using the Self-Assessment tool provided by Department of Education?</li> <li>2 Does a team, which includes agency personnel and parents, complete the self-assessment?</li> <li>3 Do agency representatives attend meetings regarding the self-assessment and validation process?</li> <li>4 Does the agency provide requested information to the monitoring team?</li> <li>5 Does the agency request guidance and/or technical assistance as needed?</li> <li>6 Does the agency evaluate the implementation of Corrective Action Plans/PIP from previous years' monitoring activities?</li> <li>7 Does the agency evaluate its program and services based on the needs and desires of the families served that includes the following <ul style="list-style-type: none"> <li>• feedback from its current and past families about their satisfaction with the planning and delivery of services</li> <li>• a written survey (provided by the Department of Education) to all families served for more than three months and/or exiting the agency regarding the family's satisfaction with the services provided by the agency</li> </ul> </li> <li>8 Does the agency use the surveys in planning and development?</li> <li>9 Does the agency actively solicit and carefully utilize family input in agency development and improvement, service delivery and policy setting?</li> </ol>	